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**FAX TO: ART UNIT: 2815**

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**FROM: Winston Hsu, PATENT AGENT, REG. NO.: 41,526**

**SERIAL NO.: 10/709,568**

**ATTORNEY DOCKET NO.: NAUP0486USA4**

**SUBJECT: INFORMATION DISCLOSURE STATEMENT**

**TOTAL PAGES: 36 PAGES (INCLUDING COVER PAGE)**

**Winston Hsu 2004/12/01**

**NAUP0486USA4\_D1\_1**

PTO/SB/97 (09-04)

Approved for use through 07/31/2008. OMB 0851-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|                                      |          |
|--------------------------------------|----------|
| (1) Transmittal Form                 | 1 PAGE   |
| (2) Fee Transmittal                  | 1 PAGE   |
| (3) Information Disclosure Statement | 32 PAGES |

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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|  |                      |                        |              |
|--|----------------------|------------------------|--------------|
| <b>TRANSMITTAL<br/>FORM</b><br><br><small>(to be used for all correspondence after initial filing)</small> | Application Number   | 10/709,568             |              |
|  | Filing Date          | 05/14/2004             |              |
|  | First Named Inventor | Anchor Chen            |              |
|  | Art Unit             | 2815                   |              |
|  | Examiner Name        |                        |              |
| Total Number of Pages in This Submission   | 34                   | Attorney Docket Number | NAUP0486USA4 |

| ENCLOSURES (Check all that apply)   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Reply to Missing Parts/Incomplete Application<br><input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br><input type="checkbox"/> Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____<br><input type="checkbox"/> Landscape Table on CD<br><br><div style="border: 1px solid black; padding: 2px;">Remarks</div> | <input type="checkbox"/> After Allowance Communication to TC<br><br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Other Enclosure(s) (please identify below): |
| <b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>   |   |  |
| Firm Name   | North America Intellectual Property Corporation   |  |
| Signature   | <i>Winston Hsu</i>  |  |
| Printed name  | Winston Hsu   |  |
| Date  | DEC - 1 2004  | Reg. No. 41,526  |

| CERTIFICATE OF TRANSMISSION/MAILING   |  |      |
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PTO/SB/17 (10-04)

Approved for use through 07/31/2006, OMB 0651-0032  
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**FEE TRANSMITTAL**  
**for FY 2005**

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT**

(\$ ) 0.00

**Complete if Known**

|                      |              |
|----------------------|--------------|
| Application Number   | 10/709,568   |
| Filing Date          | 05/14/2004   |
| First Named Inventor | Anchor Chen  |
| Examiner Name        |              |
| Art Unit             | 2815         |
| Attorney Docket No.  | NAUP0486USA4 |

**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number  
50-3105Deposit Account Name  
North America Intellectual Property Corp.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid          |
|----------------------------|----------------------------|------------------------|-------------------|
| 1001 790                   | 2001 395                   | Utility filing fee     |                   |
| 1002 350                   | 2002 175                   | Design filing fee      |                   |
| 1003 550                   | 2003 275                   | Plant filing fee       |                   |
| 1004 790                   | 2004 395                   | Reissue filing fee     |                   |
| 1005 160                   | 2005 80                    | Provisional filing fee |                   |
| <b>SUBTOTAL (1)</b>        |                            |                        | <b>(\$ ) 0.00</b> |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent        | -20** =      | X              |          |
| Multiple Dependent | -3** =       | X              |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 1202 18                    | 2202 9                     | Claims in excess of 20                                     |
| 1201 88                    | 2201 44                    | Independent claims in excess of 3                          |
| 1203 300                   | 2203 150                   | Multiple dependent claim, if not paid                      |
| 1204 88                    | 2204 44                    | ** Reissue independent claims over original patent         |
| 1205 18                    | 2205 9                     | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)**

(\$ ) 0.00

\*\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 1051 130                   | 2051 65                    | Surcharge - late filing fee or oath  |          |
| 1052 50                    | 2052 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053 130                   | 2053 130                   | Non-English specification  |          |
| 1812 2,520                 | 1812 2,520                 | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804 920*                  | 1804 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 1805 1,840*                | 1805 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 1251 110                   | 2251 55                    | Extension for reply within first month                                     |          |
| 1252 430                   | 2252 215                   | Extension for reply within second month                                    |          |
| 1253 980                   | 2253 490                   | Extension for reply within third month                                     |          |
| 1254 1,530                 | 2254 765                   | Extension for reply within fourth month                                    |          |
| 1255 2,080                 | 2255 1,040                 | Extension for reply within fifth month                                     |          |
| 1401 340                   | 2401 170                   | Notice of Appeal   |          |
| 1402 340                   | 2402 170                   | Filing a brief in support of an appeal                                     |          |
| 1403 300                   | 2403 150                   | Request for oral hearing   |          |
| 1451 1,510                 | 1451 1,510                 | Petition to institute a public use proceeding                              |          |
| 1452 110                   | 2452 55                    | Petition to revive - unavoidable   |          |
| 1453 1,330                 | 2453 665                   | Petition to revive - unintentional   |          |
| 1501 1,370                 | 2501 685                   | Utility issue fee (or reissue)   |          |
| 1502 490                   | 2502 245                   | Design issue fee   |          |
| 1503 660                   | 2503 330                   | Plant issue fee  |          |
| 1460 130                   | 1460 130                   | Petitions to the Commissioner  |          |
| 1807 50                    | 1807 50                    | Processing fee under 37 CFR 1.17(q)  |          |
| 1808 180                   | 1808 180                   | Submission of Information Disclosure Stmt                                  |          |
| 8021 40                    | 8021 40                    | Recording each patent assignment per property (times number of properties) |          |
| 1809 790                   | 2809 395                   | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810 790                   | 2810 395                   | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801 790                   | 2801 395                   | Request for Continued Examination (RCE)                                    |          |
| 1802 900                   | 2802 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$ ) 0.00

**SUBMITTED BY**

|                   |                    |                                   |              |           |              |
|-------------------|--------------------|-----------------------------------|--------------|-----------|--------------|
| Name (Print/Type) | Winston Hsu        | Registration No. (Attorney/Agent) | 41,526       | Telephone | 302-729-1562 |
| Signature         | <i>Winston Hsu</i> | Date                              | DEC - 1 2004 |           |              |

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Substitute for form 1449/PTO

(Use as many sheets as necessary)

|       |   |    |   |
|-------|---|----|---|
| Sheet | 1 | of | 1 |
|-------|---|----|---|

**Complete if Known**

|                    |            |
|--------------------|------------|
| Application Number | 10/709.568 |
|--------------------|------------|

|             |            |
|-------------|------------|
| Filing Date | 05/14/2004 |
|-------------|------------|

|                      |             |
|----------------------|-------------|
| First Named Inventor | Anchor Chen |
|----------------------|-------------|

|          |      |
|----------|------|
| Art Unit | 2815 |
|----------|------|

Examiner Name \_\_\_\_\_

|                        |              |
|------------------------|--------------|
| Attorney Docket Number | NAUP0486USA4 |
|------------------------|--------------|

## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

| FOREIGN PATENT DOCUMENTS |                       |   |                                |   |   |                |
|--------------------------|-----------------------|---|--------------------------------|---|---|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T <sup>o</sup> |
|                          |                       | Country Code <sup>2</sup> Number <sup>4</sup> Kind Code <sup>3</sup> (if known) |                                |   |   |                |
|                          | 1                     | WO 98/57367   | 12-17-1998                     | Chantre, Alain et al.                           |   | +              |
|                          |                       |   |                                |   |   |                |
|                          |                       |   |                                |   |   |                |
|                          |                       |   |                                |   |   |                |
|                          |                       |   |                                |   |   |                |
|                          |                       |   |                                |   |   |                |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Anchor Chen Examiner: N/A  
5 Filing Date: 05/14/2004 Art Unit: 2815  
App. No.: 10/709,568 Docket No.: NAUP0486USA4

Title: BIPOLAR JUNCTION TRANSISTOR AND FABRICATING METHOD

10 To: Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

15 Subject: Information disclosure statement under 37  
CFR §1.56

Dear Sir or Madame:

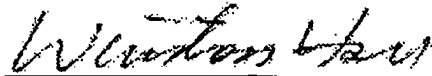
20

This is an Information Disclosure Statement in accordance with the duty to disclose information material to patentability under 37 C.F.R. §1.56. The applicant wishes to make of record the document listed  
25 on the accompanying form PTO/SB/08. It is respectfully requested that the examiner initials the cited reference on the form and that it be made of record in the application and that a copy of the initialed form be sent to the applicant with the next  
30 communication from the examiner.

Since this IDS is filed before the mailing date of the

first Office action, consideration of the information disclosure statement is hereby requested according to 37 CFR §1.97(e). Each item contained in the IDS was cited in an Office communication from State Intellectual  
5 Property Office of P.R.China on November 5, 2004. The applicant requests that the examiner consider the items contained in this IDS.

10 Respectfully submitted,



Date: December 01, 2004

Winston Hsu, Patent Agent No. 41,526

15 P.O. BOX 506, Merrifield, VA 22116, U.S.A.

Voice Mail: 302-729-1562

Facsimile: 806-498-6673

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20 communication.)